

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00

PTO/SB/17 (10-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## Complete if Known

Application Number 09/435,992  
Filing Date November 8, 1999  
First Named Inventor NABIL HANNA  
Examiner Name Phillip Gambel  
Art Unit 1644  
Attorney Docket No. 037003-0275478

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
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033975

PILLSBURY WINTHROP LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001     | 770      | 2001     | 385      | Utility filing fee     |          |
| 1002     | 340      | 2002     | 170      | Design filing fee      |          |
| 1003     | 530      | 2003     | 265      | Plant filing fee       |          |
| 1004     | 770      | 2004     | 385      | Reissue filing fee     |          |
| 1005     | 160      | 2005     | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$ 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 1202 18                    | 2202 9                     | Claims in excess of 20                                     |
| 1201 86                    | 2201 43                    | Independent claims in excess of 3                          |
| 1203 290                   | 2203 145                   | Multiple dependent claim, if not paid                      |
| 1204 86                    | 2204 43                    | ** Reissue independent claims over original patent         |
| 1205 18                    | 2205 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804     | 920      | 1804     | 920      | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840    | 1805     | 1,840    | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253     | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254     | 1,480    | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255     | 2,010    | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401     | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402     | 330      | 2402     | 165      | Filing brief in support of an appeal                                       |          |
| 1403     | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,330    | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501     | 1,330    | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502     | 480      | 2502     | 240      | Design issue fee   |          |
| 1503     | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  | 180.00   |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 770      | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00

## SUBMITTED BY

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40944

(Complete if applicable)

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Signature

Date

April 29, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Docket Number: 037003-0275478

PATENT APPLICATION

Client Reference: 1999-30-0466A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re the Application of

HANNA et al.

Group Art Unit: 1644

Application No.: 09/435,992

Examiner: Phillip Gambel

Filed: November 8, 1999

Confirmation No.: 5990

For: TREATMENT OF B CELL MALIGNANCIES USING ANTI-CD40L ANTIBODIES IN COMBINATION WITH ANTI-CD20 ANTIBODIES AND/OR CHEMOTHERAPEUTICS AND RADIOTHERAPY

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

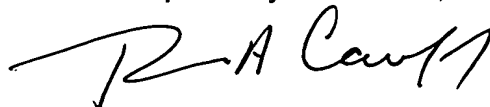
Sir:

Pursuant to 37 CFR 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. One copy of each reference is submitted herewith. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first official action on the merits, but before the mailing date of a final rejection or notice of allowance. Payment of the requisite fee under 37 CFR 1.17(p) is enclosed.

04/30/2004 WABRHAM1 00000074 033975 09435992  
01 FC:1806 180.00 DA

Respectfully submitted,



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□□

APR 29 2004

Atty. Dkt. No.  
037003-0275478Client Ref.  
1999-30-0466A

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: NABIL HANNA et al.

Appln. No.: 09/435,992

Filing Date: November 8, 1999

Date: April 29, 2004

Page 1 of 4

Examiner: Phillip Gambel

Group Art Unit: 1644

## U.S. PATENT DOCUMENTS

| Examiner's Initials* |    | Document Number | Date MM/YYYY | Name (Family Name of First Inventor) | Class | Sub Class | Filing Date (if appropriate) |
|----------------------|----|-----------------|--------------|--------------------------------------|-------|-----------|------------------------------|
|                      | AR | 5,443,953       | 08/1995      | Hansen                               |       |           |                              |
|                      | BR | 5,484,892       | 01/1996      | Tedder                               |       |           |                              |
|                      | CR | 5,500,362       | 03/1996      | Robinson                             |       |           |                              |
|                      | DR | 5,595,721       | 01/1997      | Kaminski                             |       |           |                              |
|                      | ER | 5,674,492       | 10/1997      | Armitage                             |       |           |                              |
|                      | FR | 5,677,165       | 10/1997      | de Boer                              |       |           |                              |
|                      | GR | 5,677,180       | 10/1997      | Robinson                             |       |           |                              |
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|                      | IR | 5,686,072       | 11/1997      | Uhr                                  |       |           |                              |
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|                      | OR | 5,821,337       | 10/1998      | Carter                               |       |           |                              |
|                      | PR | 5,869,050       | 02/1999      | de Boer                              |       |           |                              |
|                      | QR | 5,874,082       | 02/1999      | de Boer                              |       |           |                              |
|                      | RR | 5,874,085       | 02/1999      | Mond                                 |       |           |                              |
|                      | SR | 5,876,718       | 03/1999      | Noelle                               |       |           |                              |
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|                      | WR | 6,113,898       | 09/2000      | Anderson                             |       |           |                              |

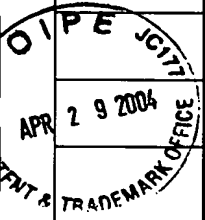
## FOREIGN PATENT DOCUMENTS

|  |     | Document Number | Date MM/YYYY | Country | Inventor Name   |  | English Abstract | Translation Readily Available |
|--|-----|-----------------|--------------|---------|-----------------|--|------------------|-------------------------------|
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|  | YR  | WO 96/12741     | 05/1996      | PCT     | Bonnefoy        |  |                  |                               |
|  | ZR  | WO 98/41641     | 09/1998      | PCT     | Fitzgerald      |  |                  |                               |
|  | AAR | WO 98/42378     | 10/1998      | PCT     | Goldenberg      |  |                  |                               |
|  | BBR | WO 98/56418     | 12/1998      | PCT     | Lam             |  |                  |                               |
|  | CCR | WO 00/20864     | 04/2000      | PCT     | Barbera-Guillem |  |                  |                               |
|  | DDR | 555 880 A2      | 08/1993      | EP      | Aruffo          |  |                  |                               |

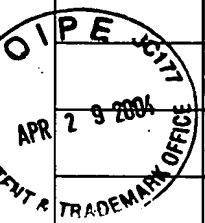
OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

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| XXXR   | Piro LD et al., "Extended Rituximab (anti-CD20 monoclonal antibody) therapy for relapsed or refractory low-grade or follicular non-Hodgkin's lymphoma," <i>Ann Oncol</i> , 1999, 10: 655-661.  |
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| FFFFR  | Reff ME et al., "Depletion of B cells in vivo by a chimeric mouse human monoclonal antibody to CD20," <i>Blood</i> , 1994, 83: 435-45.   |



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|--|--------|--|
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|  | IIIIIR | San Miguel JF et al., "Immunophenotypic analysis of Waldenstrom's macroglobulinemia," 2003, <i>Semin Oncol</i> , 30(2):187-195.  |
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\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.